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ABSTRACT

A study was undertaken to compare the compensation (salary, benefits and perquisites) of faculty and senior administrative personnel in Ontario universities with that of professionals in the private and public sectors. For senior, non-academic administrative personnel, the major findings were that: compensation practice across the 13 universities is sufficiently uniform that it is possible to generalize about the community as a whole; the most analogous positions are within the private sector rather than within government; and average total compensation is below the private sector average, with benefits as the only competitive component of the compensation package, and perquisites virtually non-existent. For faculty, the major findings were that: (1) there is essentially one academic job, the tripartite task of scholarship/research, teaching and service; (2) there are no analogous positions in the public or private sectors, but there are positions of equivalent job size; (3) as the role of the professor can be defined only within the context of the university, it is an organizational position; therefore, faculty compensation is compared with that of professional employees but not self-employed professionals; (4) on the basis of measured job content, compensation for academics at career midpoint falls below that of the comparator groups; (5) starting salaries for academics are considerably lower that those for jobs of equivalent size in the public and private sectors; (6) the high age threshold, low starting salaries and extended probation and maturation period combine to have a negative impact on career earnings of faculty; and (7) the "pay for maturity" practice results in a high correlation between age and compensation. (Author/KM)

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Report

Hay
Management
Consultants

A COMPARATIVE STUDY OF COMPENSATION OF FACULTY AND SENIOR ADMINISTRATIVE PERSONNEL IN ONTARIO UNIVERSITIES

February, 1988

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EXECUTIVE SUMMARY

At the request of the Council of Ontario Universities, Hay Management Consultants undertook a study to compare the compensation of faculty and senior administrative personnel in Ontario universities with that of professionals in the private and public sectors. The major findings of the study are set out below.

Senior, Non-academic Administrative Personnel

1. Compensation practice across the 13 universities investigated is sufficiently uniform that it is possible to generalize about the community as a whole.

2. The most appropriate analogues for senior, non-academic administrative positions are to be found within the private sector rather than within government.

3. Average total compensation (cash, benefits and perquisites) for these non-academic administrative positions is below the private sector average with benefits being the only competitive component of the total package. Perquisites are virtually non-existent.

Faculty

1. There is essentially one academic job: the tripartite task of scholarship/research, teaching and service.

2. There are no appropriate analogues for the academic position in either the public or private sectors. There are, however, positions of equivalent job size.

3. The role of the professor can only be defined within the context of the University. In this sense, it is an organizational position. Faculty compensation is compared, therefore, with that of professionals employed by private and public sector organizations but not with the compensation of self-employed professionals.

4. On the basis of measured job content, compensation for academics at the midpoint of their career falls below that of the selected comparator groups.

5. Starting salaries for academics are considerably lower than those paid for jobs of equivalent size in either the public or private sectors and are a function of the extended probation and maturation process governing movement through the various academic ranks.

5. The high age threshold, low starting salaries and extended probation and maturation period combine to impact negatively on the career earnings of faculty.

7. Faculty salary administration practice ("pay-for-maturity") results in a high correlation between age and compensation.

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FOREWORD

When we compare how jobs are paid and we come to form some opinion about equity in compensation, we are really making judgements about the relative worth of jobs. And our opinions about relative worth are ultimately judgements based on perceptions of and beliefs about the relative contributions such jobs make. Therefore, disagreements among stakeholders about how certain jobs should be compensated are, in the final analysis, disagreements about the nature of the contribution these jobs are perceived to make.

In the course of carrying out this project, the investigators had many occasions to discuss aspects of their research with colleagues at Hay. Almost all are university graduates and many have experience of Ontario universities. What was striking to us and, in its own way, significant for the project, was their perceptions of universities in general and the academic enterprise in particular. For most, if not all, academic activity was primarily about teaching. In a sense this is not particularly surprising: their university experience was as students who were taught.

In an informal and, it must be admitted, unsystematic way we found ourselves testing the perceptions of others beyond our colleague group. The results were invariably the same: whether those we talked with were university educated or not, the principal task of the academic was perceived to be teaching.

This perception has a number of significant implications, the pursuit of which is well beyond the scope of the current project. It does, however, bear on several issues that are within the scope of this study.

When the academic enterprise is seen to be primarily about teaching, then:

- It is reasonable to conclude that the job can be performed in approximately 20 hours per week over an academic year of eight to nine months. Preparation time for teaching is considered to be negligible, as academics are perceived to deliver standardized lectures year in and year out.

- Sabbaticals are perceived to be holidays, and for compensation purposes ought to be considered a perquisite.

- Tenure looks like job security.

However, the moment one puts scholarship and research at the centre of the academic enterprise, then the issues of workload, sabbaticals and tenure become transformed and are seen in a very different way. Half the value assigned by the Hay evaluation system to the academic position derives from the activity of research and scholarship.

It is not our intention to become apologists for the academic enterprise: that is something we leave for academics to do themselves. However, we do believe that these perceptions of the academic activity are patently inadequate, and that they determine to a significant degree the positions people take on how academics ought to be rewarded.

We conclude that:

- Academics devote at least as much, if not more, time to their jobs as anybody else in the workforce.

- Sabbaticals are essential to the task of research and scholarship.

- Tenure is an essential element of the safeguards needed to ensure the integrity of scholarship and teaching.

We draw attention to this problem of perception as we believe it has implications for the way in which the universities present the findings of this study to stakeholders outside the university community.

CHAPTER I

PROJECT OBJECTIVES

Hay Management Consultants was asked by the Council of Ontario Universities (COU) to undertake a study of the compensation of faculty and senior administrative personnel in Ontario universities in comparison with professional staff in public service in Ontario and at the federal level and with professionals in selected private sector organizations. In this study, compensation is understood to include salaries, benefits and perquisites.

While the study aims at a comparative assessment of compensation policy and practice overall, of particular interest are policy issues related to:

- Advancement in professional status and organizational rank.
- Performance-related compensation and the nature of performance appraisal systems in determining merit awards.
- Career compensation profiling.

The project had one further important objective: the methodology employed should be transferable so that future studies of this kind might be conducted by COU itself.

CHAPTER II

PROJECT METHODOLOGY

The study involved the following four steps:

- Data collection on the university positions under review for the purpose of assessing job content and evaluating job size.
- Comparison of measured job size and current compensation practice for each of the evaluated positions.
- Selection of appropriate comparator groups using professional discipline and market sector.
- Comparison of the data generated by the internal analysis with those from the external survey.

Hay already possessed considerable job content and compensation information on appropriate comparator groups in the private and public sectors in Ontario. Our challenge, therefore, was to collect data on the university environment in a manner that would allow its application, using the Hay job evaluation methodology, to the compensation practice of comparator groups.

To collect this information we corresponded with university administrators, convened and met with an Academic Advisory Committee, and reviewed relevant literature as well as data available from such sources as Statistics Canada.

Hay were also assisted by a Project Steering Committee, who provided advice on the overall objectives and methodology for the Project and who reviewed and commented on the final report. The Project Steering Committee was comprised of Prof. Noah Meltz, Acting Dean of Graduate Studies at the University of Toronto (Chairman); Sheldon Levy, Vice President, Institutional Affairs at York University; William Trimble, Assistant Vice President (Personnel) at the University of Western Ontario and Edward DesRosiers, Director of Research at the Council of Ontario Universities.

Assessment of Jobs and Compensation Practices for University Administrators

We sent two separate communications to designated university administrators:

1) to solicit information about job content and job size for key administrative positions from the level of director to that of executive head; and

2) to obtain compensation information about these jobs after we had evaluated them. Compensation information was requested only in this second stage in order to ensure that job size was evaluated independently of compensation.

Of the fifteen universities surveyed, thirteen participated, namely: Brock University; Carleton University; University of Guelph; Lakehead University; Laurentian University; McMaster University; University of Ottawa; University of Toronto; University of Waterloo; The University of Western Ontario; Wilfrid Laurier University; University of Windsor; York University. This was judged to be a representative sample of university administrative jobs sufficient to permit comparison of respective compensation practices.

Collecting Data on the Academic Positions

Information for evaluating the job content and compensation practices of the professoriate presented us initially with more problems as the functions of academic staff are publicly informed more by prejudice and perception than by fact. It was, therefore, essential for us to begin our review with unimpeachable and credible feedback from members of the professoriate. For this purpose, we created an Academic Advisory Committee to help inform us about the nature of the academic enterprise.

Membership in the committee required a good grasp of the overall academic enterprise; experience of tenure and promotion decision-making; and, in the true spirit of research, an interest more in the questions posed than in the implications of the answers. We also wanted the members of the committee to be representative of various broad disciplinary areas.

Given the criteria set out above, the committee included:

Mr. Edward DesRosiers	Director of Research, COU
Dr. William Francombe	Medicine, University of Toronto
Dr. Peter George	Social Science, McMaster University
Dr. Robert Lundell	Science, York University
Dr. Noah Meltz	Graduate Studies, University of Toronto
Dr. Edward J. Monahan	Executive Director, COU
Dr. Dan Soberman	Law, Queen's University

While the conclusions we have drawn from our discussions with the members of the committee are our own, we are most grateful to them for allowing us to sequester them with us for a two-day period in February to review in detail the nature of the academic enterprise. On the basis of these discussions, our study excluded faculty in medicine and dentistry since the practices and policies in these two areas vary significantly from those applied in other disciplines. It is generally acknowledged that faculty in medicine and dentistry are compensated at a level below that which is believed to obtain in private practice.

Information on the academic enterprise was further fleshed out by a review of the literature describing the function of the professoriate, the various memoranda of agreement and policy documents available from the universities and discussions with colleagues in the United States who had been engaged in similar exercises of evaluating the academic function. Data on the compensation practices for academic positions were also obtained from a rigorous review of salary information for faculty across Ontario collected by Statistics Canada and made available from each university individually. Information on benefits was made available from University Benefits Survey, December 1986, prepared by the University of Western Ontario and published by COU.

Chapters Three, Four and Five present our research findings. A bibliography is attached as Appendix D.

CHAPTER III

THE UNIVERSITY CONTEXT: DEFINITIONS, REWARDS AND OBLIGATIONS

Introduction

While this study is specifically about the compensation paid to members of Ontario's university community, compensation is only one indicator of how an organization values service performed, or indeed of why an individual chooses one career over another. Other rewards have their part to play in attracting, and motivating appropriate individuals to perform their required roles.

An appreciation of both the intrinsic and extrinsic rewards of university work, administrative or academic, is a prerequisite for credible comparisons with other groups employed in radically different settings. This chapter sets about to explain the university context through a discussion of:

- The university as an organization;
- The nature of the academic enterprise for the professor (including the career path of the professor);
- Rewards in the university setting; and
- Responsibilities and the "performance contract."

Although some variations do exist among Ontario universities with respect to size, range of programme, age of the institution, location and so on, similarities are strong enough to make generalizations permissable. More important, the discussion attempts to contrast or compare, where appropriate, circumstances and practices in the university sector with those which generally prevail in the civil service and/or large organizations in the private sector.

The University as an Organization

Universities are "mixed" organizations. Unlike the industrial organization which operates with a bureaucratic structure or a reporting hierarchy exclusively, two radically different structures share power and authority within the university. Administrative functions are organized in a bureaucratic structure analogous to an industrial organization while a collegial structure functions on the academic side.

As a consequence of the two co-existing structures, there are two career streams within the university and two substantially different cultures. With the exception of the executive head and the senior academic administrator who are, almost invariably, academics first, the average career path of the administrator is very limited within the mixed organizational structure of universities. Without the benefit of "academic" credentials or experience, middle and lower level administrators remain in the role of supporting the "business" or raison d'être of the institution, a mission which is carried out ultimately by the professors.

The career of the professor, again with the exception of the executive head and the senior academic officer, remains confined to the hands-on work of the academic enterprise (described in detail in the next section). The essential nature of this work does not change from the first day of employment to the day of retirement. In the true spirit of collegiality, department heads (chairs) and deans assume their responsibilities for a limited term only, after which they return to their prior status as professors.

The Nature of the Academic Enterprise

The career of a professor is sufficiently unique, that is, without comparison in the civil service or the private sector organization, that a further discussion of the nature of the academic enterprise is warranted if we are to understand what academics do, how they go about their business, and how they are rewarded in turn. Professors vary from professionals and organizational employees in three significant ways:

1. The role of the professor can be defined only within the context of the university. While a lawyer, accountant, engineer or physician can be either self-employed or employed within a large organization, a professor can only exist within an institution of higher education. By definition, the professor is an employee.

2. While most employees outside of academe expect career progress to be rewarded with promotions, the career of the professor is an ongoing process of maturation in the tripartite role of scholarship, teaching and service. In essence, the professor has one job throughout his or her career -- first as an apprentice and then as an established professor.

3. Professors, on average, are into middle age before they pass their probationary period. Later data speak to this point.

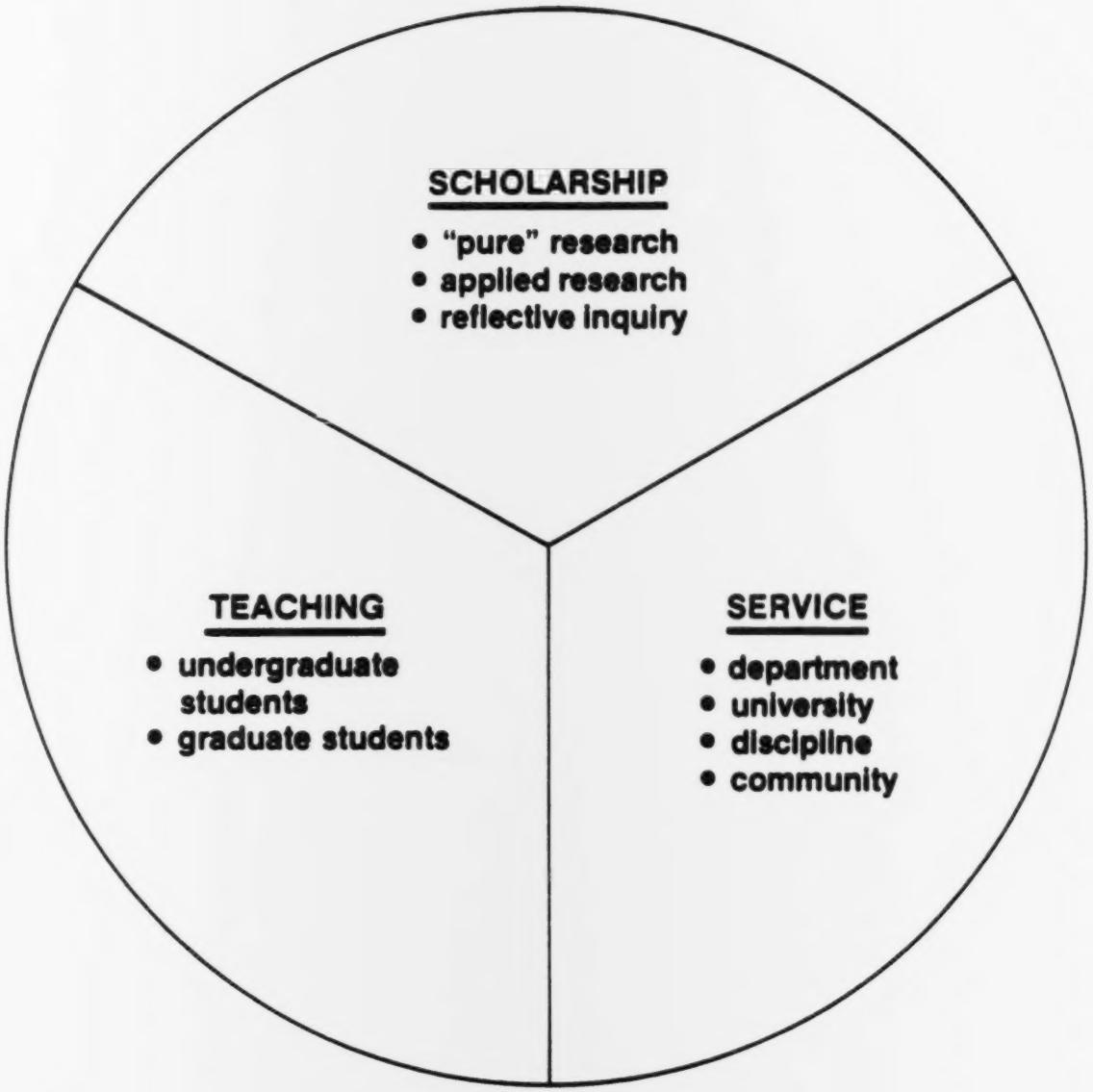
The Job Description of the Professor

Figure 3-1 displays pictorially the three functions of the professor: scholarship, teaching and service. Teaching includes the instruction of undergraduates and graduate students as well as one-to-one tutoring and thesis supervision. Service on behalf of the department or the university consists of the undertaking of committee and/or administrative duties. On behalf of the discipline, service includes editing materials, organizing and attending conferences, sitting on evaluation committees and so on. Service in the name of the community includes consulting to various organizations, sitting on government task forces and committees, holding courses for or giving presentations to various associations and community groups and so on.

The teaching and service done by the university professor is informed by scholarship and research. This distinguishes the university professor fundamentally from the teacher in the secondary school or community college level. Scholarship can be applied or pure research and what Bonneau and Corry describe as reflective inquiry.

> [Professors engaged in reflective inquiry] are working, not with the seeing eye or with the mind narrowly focused on minute analysis, but rather with the synthesising mind, more concerned with breadth of view than with depth of specialization and minute analysis....[Professors] are reflecting on what is conceivably knowable, on hypotheses about man and his world, often moving back and forth across the boundaries of specialized study and observation. This kind of activity, vital for fruitful research, and often the most fruitful outcome of research, has special characteristics distinguishing it from heavily empirical and analytical work. We call it "reflective inquiry".... (Quest for the Optimum, p.31)

FIGURE 3-1
JOB DESCRIPTION: PROFESSOR



In many disciplines, it is expected that professors will compete for and obtain research funds to support their specific research endeavors. Failure, in some disciplines, to obtain grants could be critical to the continued career of an untenured professor.

The service function is recognized to be subordinate to both the scholarship and teaching obligations of a professor. The division of duties and time between research and teaching may vary by university and by discipline.

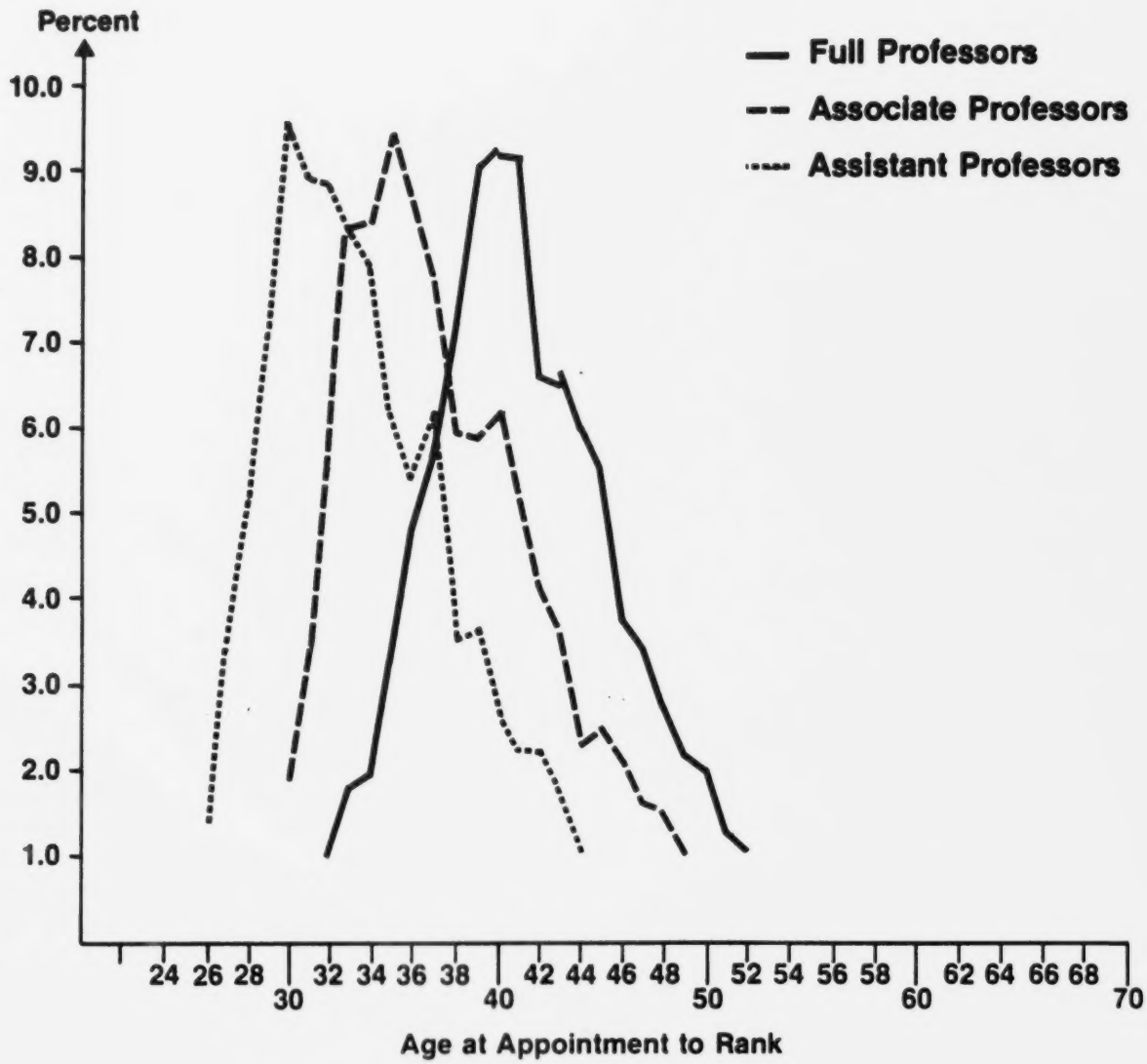
The Career Path of the Professor

Earlier it was mentioned that it is more appropriate to call the career of the professor a process of maturation as the responsibilities of the professor remain essentially the same regardless of rank. In contrast, career moves in the private sector can be marked not only by lateral movement in the organization but also by movement upward in the organizational hierarchy: in either case the employee may assume job responsibilities that are radically different from ones previously performed.

A professional career typically takes the professor through three ranks. The newly-appointed faculty member enters the university as an untenured Assistant Professor, after the completion of graduate studies, usually at the doctoral level. The new faculty member must successfully complete a probationary period in order to be granted tenure (discussed in greater detail below in sub-section III-C) and the rank of Associate Professor. Some years after appointment to the rank of Associate Professor, the professor, after review, may be granted the rank of Full Professor.

During the latter part of the sixties and the early seventies, when the demand for professors exceeded the supply of new graduates wishing to join the ranks of academe, the progression through the ranks to that of Associate Professor with tenure was often easier to obtain than policy would suggest. As the supply-demand situation changed, entrance to these ranks became more difficult so that now many who wish to have careers as professors must first accept one or two limited term appointments (usually of three years duration) before they can obtain a tenure-stream appointment as an Assistant Professor. In 1986-87 about 60% of all new appointments were for a contractually limited term.

FIGURE 3-2
DISTRIBUTION: AGE AT APPOINTMENT TO RANK
(Tenured and Tenure Stream Only)



SOURCE: Statistics Canada, 1986-87 data. For Full and Associate Professors, data exclude inter-institutional transfers.

Professional maturation finds expression in each of the functions of scholarship, teaching and service. Scholarship, for example, develops in terms of quality, if not quantity; teaching expertise increases and the nature of involvement in the discipline and department broadens: the tenured professor, for example, is more likely to serve on or chair the more senior committees or assume the administrative functions of department head or dean.

While policy varies from one university to another and the incidence of contractually limited appointments may add three to six years at the front end of this process, the time frame for moving from one rank to the next is typically defined by most memoranda of agreement between the faculty associations and the universities as follows:

- The probationary period of the new professor joining the university faculty with a rank of Assistant Professor is five to seven years.

- If the incumbent proves to have demonstrated competence in the roles of teaching, scholarship/research and service at the end of this period (performance standards are discussed in a later section) then he/she will be granted tenure and the rank of Associate Professor.

- Four to seven years after appointment to the rank of Associate Professor, the professor, after review, may be granted the rank of Full Professor.

It follows that the career of professor has a very high age threshold. Under present practice, the average professor will be into middle age before completing the educational requirements, passing the probationary period and being granted tenure. Table 3-1 following shows the average, median and mode age of professors at appointment to various ranks in 1986-87. Figure 3-2 displays the age distributions graphically. It should be noted that the average age on first appointment of those appointed full professor in 1986-87 would probably have been between 30 and 32 some 10 to 12 years ago.

Table 3-1
Age at Appointment to Rank, 1986-87

Rank	Average Age	Median Age	Mode
Full Professor	42.0	41.0	40.0
Associate Professor	38.0	37.0	35.0
Assistant Professor	34.0	33.0	30.0

Source: Statistics Canada. For Full Professors and Associate Professors, data exclude inter-institutional transfers.

The high age threshold carries serious risks for those aspiring to an academic career at a university. University policy requires that professors denied tenure find employment outside of the university either immediately or within one to two years after the tenure decision has been made. Those denied tenure are obliged to find another career while they are into middle age. These risks are substantially different from the average employee in the private sector where probation in any one position is generally three to six months.

Tenure

From the perspective of those outside the university, the tenure system is one of the most controversial of university appointment policies. Tenure was conceived to maintain not so much job security but autonomy and intellectual freedom for those who had passed through the probationary period discussed above. The principle becomes more understandable when one understands that the job of the professor is more about scholarship than teaching.

Dan Soberman of the Faculty of Law, Queen's, writes:

> There has been an unfortunate confusion between the idea of job security in the labour force and academic tenure -- so much so that to a number of academics themselves tenure means that they cannot be dismissed even when they fail to carry out their duties. I suggest that it is a fundamental misconception of the protection afforded by tenure, by false analogy with the de facto 'protection' which arises in all large bureaucratic organizations as explained by Professor Peters [of Peter Principle fame]: incompetent people are not fired because of the inertia of the system, and the embarrassment and even pain that results from trying to get rid of pleasant but unproductive employees; they are simply left at their achieved level of incompetence.
>
> (Soberman, Academic Freedom and the Control of Research in Canada, pp. 66-67.)

It is likely that universities collectively employ some professors (in this case tenured) whose productivity has diminished over time. In the same way, it is likely that other large organizations employ their own level of diminished productivity. From this perspective, it can be argued that it is not so much the tenure system that protects less productive individuals but the inertia of all large institutions.

Deans and Chairs

For professional employees in the private sector, the movement into administrative or managerial positions signifies a promotion or a different career choice. In contrast, in the university context, the role of dean of a faculty or chair of a department represents part of the service function of the academic. These roles are assumed by the academic only for limited periods, usually involve reduced teaching loads and may often be undertaken at the cost of individual research. Because the academic who is chosen to assume an administrative function accepts an appointment for a defined and limited term before returning to the ranks as an "ordinary" professor, the administrative function although carrying significant responsibility is not highly rewarded (and some would argue, not highly sought) by academics. It is important to stress that administrative functions are perceived to have a different value in the collegial world of the academic than in the private sector.

Rewards in the University

The rewards the professor receives for and from work range from extrinsic e.g., compensation, promotion, and professional development, to intrinsic rewards exemplified by the freedom to pursue one's intellectual curiosity, the communication of the results of research and scholarship, peer recognition and so on. Research in the United States suggests that intrinsic rewards are important to both administrative and academic members in the university community, although compensation can be a source of dissatisfaction. With this caveat in mind, extrinsic rewards for the university administrative employee are briefly reviewed in this section.

Rewards for University Administrators

The business of a university is the tripartite task of research/scholarship, teaching and service. Within this context there is virtually no opportunity for people in administrative positions in universities to aspire to doing the "business of the business." The rewards, therefore, available to administrative and support personnel are largely limited to the intrinsic satisfactions that derive from the performance of their own jobs and the extrinsic reward of compensation. There is probably less opportunity for promotion to significant positions of power and influence than is the case in the private sector or indeed in most other areas of the public sector.

Rewards for Academics

Pay

While other chapters of this report will focus on the specific level of remuneration for professors compared to others outside of the university sector, three points should initially be made:

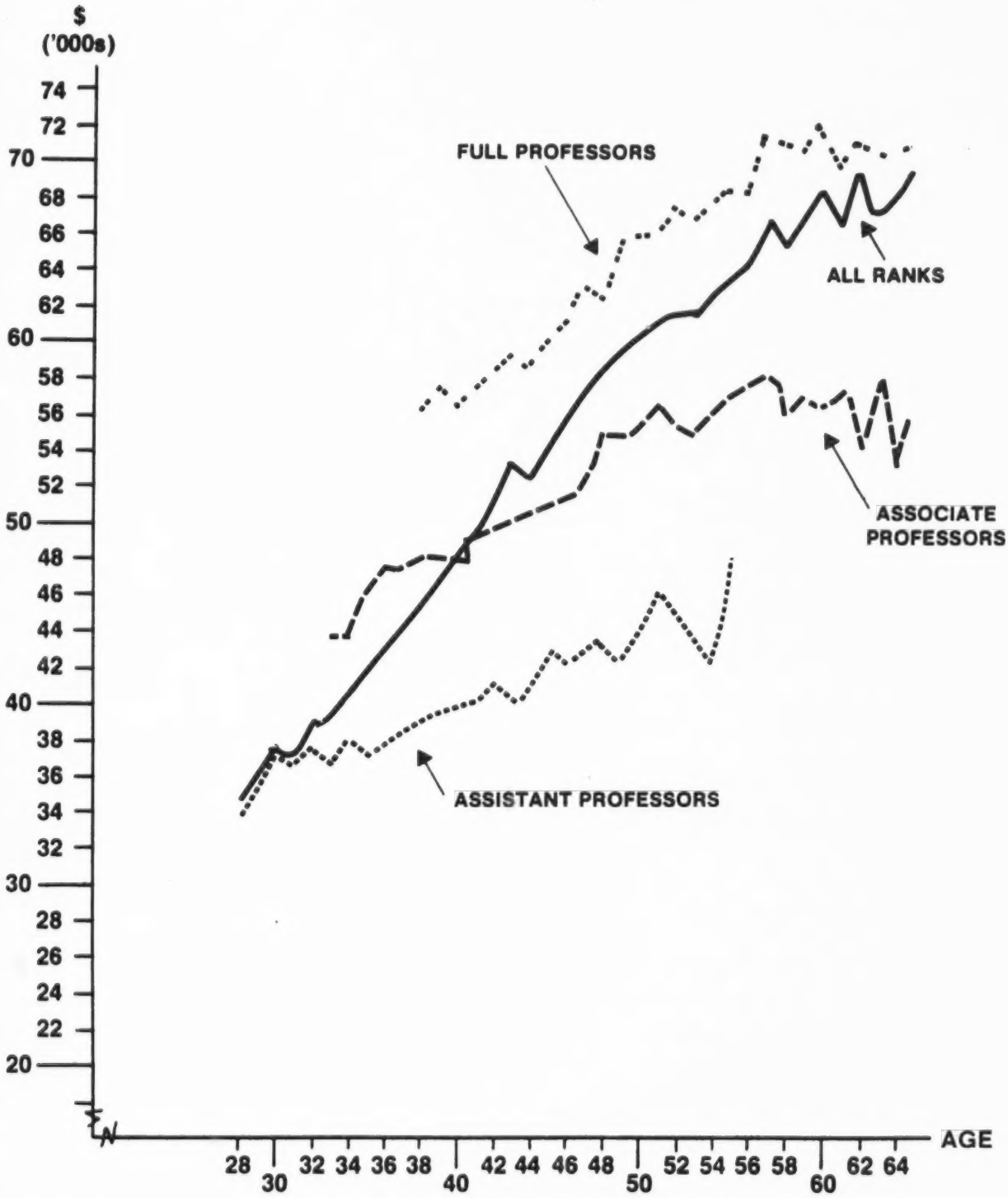
- As the academic career is essentially defined by one job description, the compensation received by the professor who survives the various hurdles leading to a decision to grant tenure is, with some variation, rank and age dependent. Figure 3-3 displays the age-compensation relationship by rank.

  Assuming progression through the ranks from Assistant Professor to Full Professor, annual increases usually are granted in an orderly fashion. As professors often have a salary level in their last rank that is at least equal to the floor level in the next highest rank, promotion does not generally entail a significant increase in salary. For those who are not promoted, the salary level begins to plateau.

  The strong age-compensation relationship in the university, coupled with the high threshold of the profession explains why academics usually argue for pay increases either on the basis of life-time earnings profiles or real wage increases over a period of time. Lack of understanding of this unique salary structure also explains why government is most apt to resist demands for salary percentage increases from professors when the faculty, as a whole, is in an advanced age cycle. Currently, for example, approximately 76% of all teaching staff in Ontario universities is tenured and the average age of those professors who are tenured or in the tenure stream is just over 47 years of age.

- In the private sector, salary ranges for a given job usually vary by ± 20% around the mid-point. For the academic, however, the salary range for the single job is extremely large. Average starting salaries for Assistant Professors in 1986-87 were $34,000. Average salaries for Full Professors at age 65 were $70,600 giving rise to a range of +27%, -39% around an average of $55,500. As discussed in a subsequent chapter, the size of this range has significant implications for life-time earnings.

FIGURE 3-3
AVERAGE ANNUAL SALARY FOR ONTARIO PROFESSORS BY RANK AND AGE



SOURCE: Statistics Canada, data do not include administrative stipends

- As noted, academics performing administrative or managerial duties are not highly rewarded. According to Statistics Canada data for 1986-87, deans in Ontario universities received between $ 3,000 and $ 20,000, for an average administrative stipend of $ 7,170. Deans, who usually have a reduced teaching load during their term, represent the concerns of the departments in their faculty to the broader community and provide the leadership for the allocation of often substantial budgets. Chairpersons similarly are not rewarded as they would be in the non-university environment for assuming their roles. The following clause from the collective agreement between Carleton University and its Faculty Association illustrates this point:

  > A chairman (or equivalent) during his/her term of office shall receive in addition to his/her annual salary, an annual stipend related to the number of employees in his/her department as set out below:
  >
  > | | |
  > |---|---|
  > | 1 to 7 employees | $ 1,300 |
  > | 8 to 15 employees | 1,450 |
  > | 16 to 23 employees | 1,600 |
  > | 24 to 31 employees | 1,750 |
  > | 32 or more employees | 1,900 |
  >
  > Clause 25.1.c, p.108

The rewards for administrative duty are, in short, largely intrinsic, and reflect above all else the approbation and confidence of one's peers. This underscores one area where value systems vary strikingly with those in the non-university sector.

Professional Development

For professors, the most clearly recognized vehicle for professional development is the sabbatical. To the outsider the sabbatical often represents the most extravagant of perks. But from the vantage point provided by our examination of the academic enterprise, sabbaticals are not perks, but instead an important and essential means to the realization of academic potential. Most universities are critical of professors who refuse or do not ask to take professional development leaves, i.e., sabbaticals.

In general, a 12-month sabbatical at 75% to 80% of salary is granted for every six years of full-time service. Generally, policy documents on sabbaticals state that the professor is required to submit in advance to the chair of the department and, through the chair, to the dean of the faculty a proposed outline of what will be undertaken during the professional development leave. Failure to comply with this requirement in a satisfactory manner can result in denial of the sabbatical. A detailed report of what was accomplished during the leave may also be required when the professor returns to the university. Failure to perform satisfactorily on one leave can be cause for the denial of future sabbaticals. Most contracts with professors also stipulate an upper range to the extra income a professor may earn while on leave.

Intrinsic Rewards

Most research on intrinsic rewards has been conducted on university professors in the United States. As the market for academics is world wide and tends to be unmindful, in the absence of immigration restrictions, of nationality, we assume a reasonable equivalence of attitudes in the United States and Canada. In this regard, the intrinsic rewards that the professoriate tends to regard most highly include autonomy, the satisfaction of intellectual curiosity, intellectual exchange and the opportunity to work with students and colleagues.

Responsibilities and the Performance Contract

Performance Review

In the view of the investigators, private sector organizations tend to exaggerate the effectiveness of performance appraisal systems, particularly as they relate to professionals. The outputs-based performance system so in vogue in the private sector for production and sales jobs remains highly problematic in the evaluation of the services provided by most professionals.

For the most part, the performance contract, the method of performance appraisal and the sanctions applied for non-performance for administrative university staff are not substantively different from those procedures used in other large organizations. We have no evidence to suggest that the application of these procedures is any more or less efficient than it is in other large organizations.

The tripartite nature of the job of professor and the collegial operating structure governing academics' day-to-day activities suggests a need for performance guidelines and assessment procedures different from those employed by a bureaucratic structure. Moreover, the outputs of the professor are difficult to assess in the usual way, as satisfactory performance of job duties is more than can be measured by the number of publications and the volume of teaching activity conducted. Ultimately, the assessment of professors during each stage of their career requires some assessment of innate worth and skill--particularly in the area of scholarship.

The performance appraisal system applied in Ontario universities to those seeking tenure and promotion is, in our opinion, far more rigorous than procedures generally employed in the private sector or the public service. The approval process essentially consists of review and approval by ever broadening groups of peers.

Until the candidate applies formally for tenure, the chair of the department provides feedback on performance based on publications, student evaluations, and written statements on service and other activities. In the year in which tenure is sought, the candidate must first be recommended by the departmental committee, next by the faculty committee and finally by the university. The opinion of outside examiners may also be sought and it is most assuredly sought once the candidate applies to move from the position of Associate to Full Professor. While an appeal system does exist for those denied tenure, the probability of getting a negative decision reversed is extremely low.

The appraisal of professors, once they are tenured, is more problematic and ultimately more controversial. Tenure, in theory, does not grant a professor immunity from dismissal. Such things as failure to discharge responsibilities through incompetence or neglect; abridgement of the academic freedom of others; professional misconduct and misconduct affecting the personal safety of others at the university appear in appointment policies as legitimate causes for dismissal.

As few tenured faculty have ever been dismissed, little evidence exists which would permit one to state whether the university is simply lax in policing its peer group or whether the probationary process weeds out most incompetence.

With the increasing formalization of policies respecting terms and conditions of academic appointment, the elements of annual review for all professors are being more clearly defined. Universities, for example, generally require the professor to submit annually to the chair a report on teaching, research and service activities. Student evaluations often supplement the file information. To varying degrees within each university, such information is used to determine the annual salary increase.

With regard to performance, there is no evidence to suggest that the university suffers fools and incompetents any more than does the private sector. It is instructive to hear what professionals in the private sector have to say about the reality of pay for performance and performance management. The following are responses of professionals selected from the Hay Data Bank on Employee Attitudes and Opinions.

TABLE 3-2

RESPONSES OF EMPLOYED PRIVATE SECTOR PROFESSIONALS TO QUESTIONS ABOUT PAY FOR PERFORMANCE AND PERFORMANCE MANAGEMENT IN THEIR ORGANIZATIONS

Question	Agree %	Neither Agree Nor Disagree %	Disagree %
Employees who are "better performers" receive higher pay increases than "poor performers"	31	24	45
My organization has a fair system for evaluating an employee's performance	28	31	41
Poor performance is usually not tolerated in my organization	31	20	49

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The data in Table 3-2 suggest that the principles of performance management exist more in theory than in practice for the majority of organizations.

Job Responsibilities

As universities come under increasing public scrutiny, academics are often questioned by the public about the workload they carry and amount of time spent and income earned from outside consulting. Most universities have stated policy in these matters.

With respect to consulting, some such activity may be viewed as a legitimate expression of service to the community. The real question concerns whether faculty who consult do so at the expense of their responsibilities to the universities. In most policy documents, the faculty member is informed that consulting outside must not interfere with duties on campus, that use of university facilities for outside consulting must be paid for and that reporting in some form to the chairperson or the dean about outside activities may be required. If consulting assignments are judged to interfere with the work of the university, the professor may be asked to take a reduced teaching load, unpaid leave, or to tender a resignation.

Despite the absence of rigorous requirements for reporting consulting, it is clear that most universities in Ontario do not encourage such activity to the same extent as their counterparts in the United States where professors are usually employed on a 9-month rather than a 12-month contract. Given this difference, it is unlikely that many Ontario faculty do extensive consulting work. A 1985 U.S. study found that while approximately 35 to 50% of U.S. faculty consulted at any time over the course of two years, only 5 to 6% of this group reported consulting more than one day per week. The economic return from consulting was assessed at 15% a year for those who consulted. More significantly, the study found that those who consult "are more likely...to hold higher academic rank, to have higher base salaries, to be among the more distinguished faculty, and to be from one of the professional fields or the sciences." (Boyer and Lewis, 1985, p.v)

Given the diverse nature of the professor's job responsibilities, it is difficult to define the precise number of hours a professor should spend on any given activity. Most universities stipulate that the academic year is twelve months, with a month's vacation included. Teaching duties generally are fulfilled in two of the three semesters per year, with the third semester being devoted to research pursuits.

Conclusions

Understanding the university environment and the nature of the professor's job contributes to understanding the context in which compensation comparisons can be made. The university administrative cadre is comparable in many ways to that in other large organizations. With respect to academic jobs, the context is very often different. The reader is asked to keep the following points in mind:

- Unlike most professional jobs, the job of professor is defined by the employing institution -- the university. The professor is an employee.
- The career of professor is marked by a single academic job.
- The career of professor has a high age threshold. The probationary period is generally not passed until middle age.
- Compensation is related to years of service and therefore appears to be age-dependent. The salary range is extremely wide. Skill in teaching and scholarship are rewarded over administrative duties.
- The structure in which professors work is collegial and not bureaucratic.
- The performance of administrative duties is not highly rewarded financially. It is viewed as a part of the professor's obligation to provide service to his/her department and institution.
- Performance review for those under probation and applying for tenure is extremely rigorous. Performance management for tenured professors appears to be at least as rigorous as that in the private sector.
- It is difficult to clearly disaggregate the precise elements of a professor's job as the division of time among research, service and teaching is influenced by the discipline and the demands of the university.
- University policy requires academics to work all year, exclusive of a one-month vacation.

CHAPTER IV

JOB EVALUATION METHODOLOGY

Meaningful comparisons of how jobs are compensated require meaningful comparisons between the jobs themselves. We know that resorting to the simple expedient of comparing job titles can be dangerously misleading. For example: although there may be a widely held generic description for the role of a comptroller, the organizational context in which that job is performed will determine the true nature and complexity of the task. For this reason, it is essential that a variety of job factors be considered when comparing jobs to each other. The utility of a job-factor measurement technology is particularly important when assessing the compensation of jobs for which there are no real analogues.

The Hay evaluation methodology uses three factors with a total of eight dimensions for making job content assessments. (A fourth factor to measure working conditions was not used for this project.) These three factors are described below.

Know-How

Know-How takes into account the sum total of every kind of knowledge and skill, however acquired, needed for acceptable job performance. Its three dimensions are requirements for:

- Practical procedures, specialized techniques and knowledge within occupational fields, commercial functions, and professional or scientific disciplines.

- Planning, organizing, coordinating, integrating, staffing, directing and/or controlling the activities and resources associated with an organizational unit or function, in order to produce the results expected of that unit or function. This skill may be exercised consultatively ("thinking like a manager") as well as directly.

- Active, face-to-face skills needed for various relationships with other people.

Problem Solving

Problem Solving assesses the amount and nature of the thinking required in the job in the form of analyzing, reasoning, evaluating, creating, using judgement, forming hypotheses, drawing inferences, arriving at conclusions, and the like. Two dimensions are examined:

- The environment in which thinking takes place.
- The relative difficulty of the thinking to be done.

Accountability

Accountability for action and its consequences is the measured effect of the job on the end results of the organization. It has three dimensions in the following order of importance:

- FREEDOM TO ACT - the extent of personal, procedural, or systematic guidance or control on the job.
- JOB IMPACT ON END RESULTS - the degree to which the job affects or brings about the results expected of the unit or function being considered.
- MAGNITUDE - the size of the function or unit measured in the most appropriate fashion.

The job evaluation technology was used in the context of the current project as follows:

Senior Administrative Positions

Approximately two hundred jobs including the executive heads and senior academic officers from the thirteen participating universities were evaluated. Position information was obtained from job descriptions and other relevant organizational data such as organization charts, staffing levels, operating budgets and general information about the nature of the universities themselves. The consultants' previous experience in evaluating senior administrative positions in a large number of Canadian and Ontario

universities allowed us to have an informed appreciation of this organizational environment. By and large, we restricted our evaluations to positions having analogues across the university community and within the selected external comparator groups.

Faculty

As indicated earlier in this study, there is one academic job: the tripartite task of research/scholarship, teaching and service. The evaluation of this job using the three factors described above requires some discussion.

- **Know-How**

  The academic job requires the highest levels of practical/technical/ and specialized know-how. Teaching requires a grasp of the most current knowledge of the discipline overall, while research involves the generation of new knowledge.

  Academics require a reasonable level of management skill to plan and implement a variety of activities in the three areas of research, teaching and service.

  A high level of interpersonal skills is needed for teaching and counselling students, and for effective participation in the collegial governance of the institution.

- **Problem Solving**

  By definition, research requires that work be carried out somewhere near the edge of what is known. Although the degree of uncertainty associated with the work is highly focussed within a discipline, problem solving requirements approach the highest levels of this dimension. Clearly there are no limits on freedom to think.

  It is important to note that over half the value assigned by the Hay evaluation system to the academic position comes from the activity of research and scholarship and the complementary activities needed to fund and support it.

o **Accountability**

The single most important aspect of the determination of accountability is centered around the concept of "Freedom to Act", or, its reciprocal, those factors within the position and its environment that define the scope of its decision making.

Usually the first place to look for a measure of this factor is within the structure of the organization. Within the more common machine bureaucracy, determining the levels of supervision and the nature of the supervision will usually go a long way toward positioning the job's level of decision making. In the "collegial" environment without a clearly defined pyramidal structure, it is necessary to consider other aspects of the academic job that delineate the scope of its activities.

There are many intrinsic and extrinsic demands that are placed on the academic position:

<u>The University</u>

This organization, as the professor's employer, makes considerable demands. For example, the professor is usually expected to carry out certain teaching duties, to mentor a certain number of graduate students, to undertake an active research program and to serve on a number of administrative committees.

<u>Colleagues</u>

The whole career of the individual academic is under more or less continual scrutiny by colleagues within the academic community. Such indicators as progression through the ranks, being granted tenure, being granted a sabbatical, all receive a close and meticulous review by the position's peer group.

The Discipline

The intrinsic deep subject specialization usually found necessary in carrying out the demands of scholarly investigation very quickly commits the academic to a chosen area of expertise. Except in very rare circumstances, the academic pursues a career in the investigation of only one subject area, and perhaps a very closely defined subset of that discipline.

The Scholarly Process

Many aspects of the acquisition and dissemination of knowledge, for credibility alone, have to follow a set of well established processes. Such things as the orderly collection of data, adherence to established experimental procedures, with their null hypotheses, levels of statistical significance, reliability of results, and validity of results, all constitute demanding and exacting taskmasters that have to be satisfied before scholarly communication and peer acceptance can even be contemplated.

The Granting Agencies

It is usually assumed that academics will be able to fund their investigations through their own efforts. As a consequence the granting agency places some further demands on the academic. Although they will not dictate what is investigated or how the investigations are carried out, they are usually very anxious to see some tangible results for their investment. Continued success in attracting research funding depends on continued research output of quality.

The Evaluation of Accountability

Consideration of the nature and scope of the various demands placed on the academic enterprise show that these demands are a lot more subtle than those in a more conventional organization. They are nonetheless real and serve to define the Freedom to Act of the position.

In the final analysis, although one is free to study what one wants, to think whatever one likes and to say pretty much whatever one likes, the expectations of a variety of stakeholders provide some very real constraints on the way in which things are done. Collegiality is as much about control as it is about freedom.

CHAPTER V

DATA RESULTS - COMPENSATION COMPARISONS

In this chapter comparisons are made between the average compensation practice of Ontario universities and that of selected comparator groups, namely:

a) Private sector organizations - industrial and financial.

b) Organizationally-employed professionals in the private sector. These data were limited to non-managerial positions.

c) Ontario and Federal civil services and Ontario-based non-profit organizations.

Organizations surveyed are found in Appendix C.

Section I presents data comparing university compensation practice for senior administrators with that of private and public sector comparator groups. In this section, three sets of data are presented:

1. A comparison of base salaries.
2. A comparison of employer-paid noncash compensation which represents the cash value of employer-paid and employer/employee cost-shared benefits.
3. A comparison of total remuneration which is the total of base salary plus employer-paid noncash compensation.

Section II compares the compensation of faculty with that of organizationally-employed professionals in the private and public sectors.

A detailed discussion of noncash compensation policy and practice is found in Appendix A. An explanation of Hay's noncash compensation methodology is contained in Appendix B.

Section I

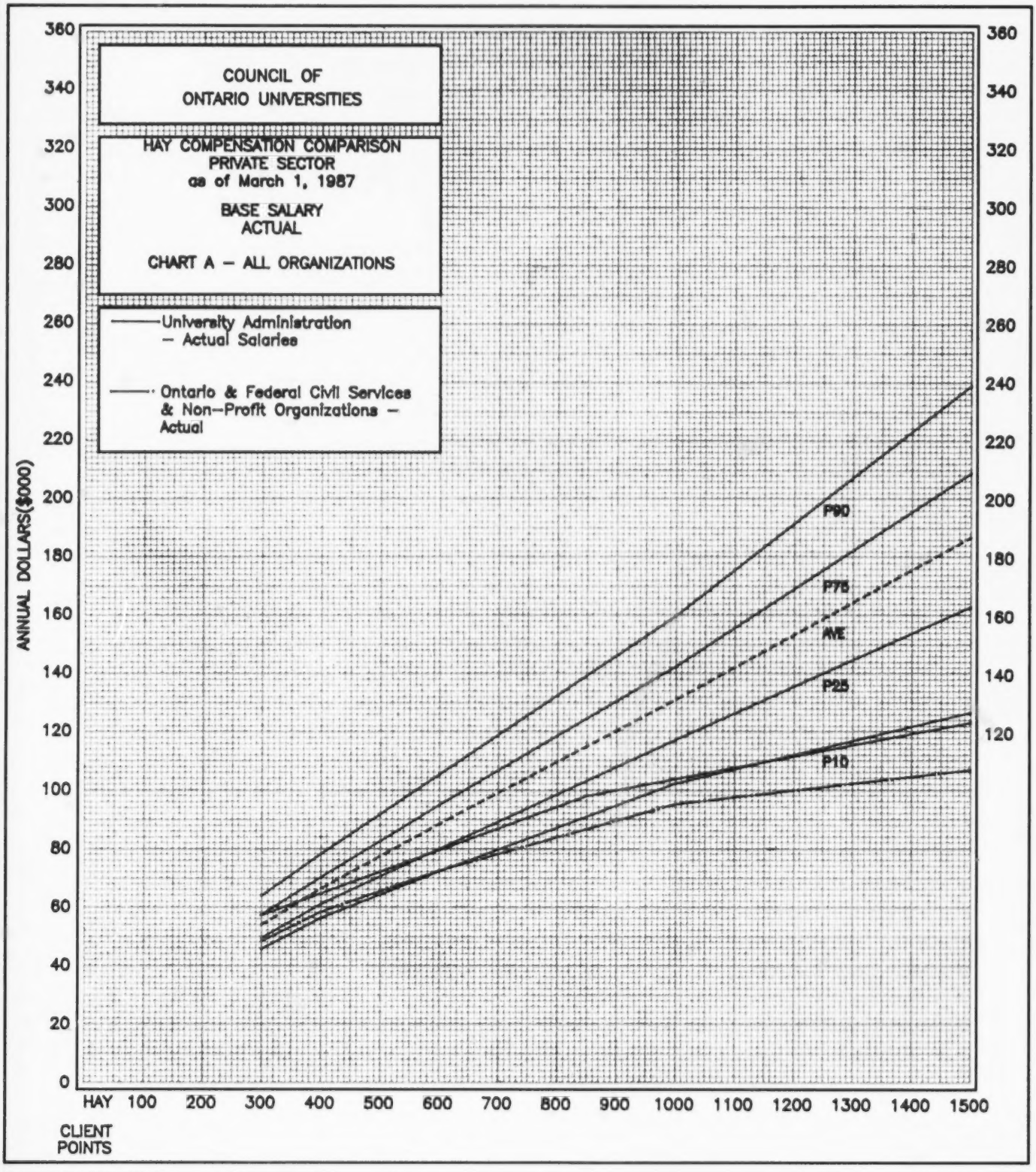
Senior Administrative Personnel Compensation

A university is a business. Its long-term viability depends on how effectively and how efficiently it attracts users of its teaching and research services, acquires and manages its resources - both human and financial, develops and maintains its physical facilities, articulates and implements its organizational strategies, and manages its relationships with a multiplicity of internal and external stakeholders.

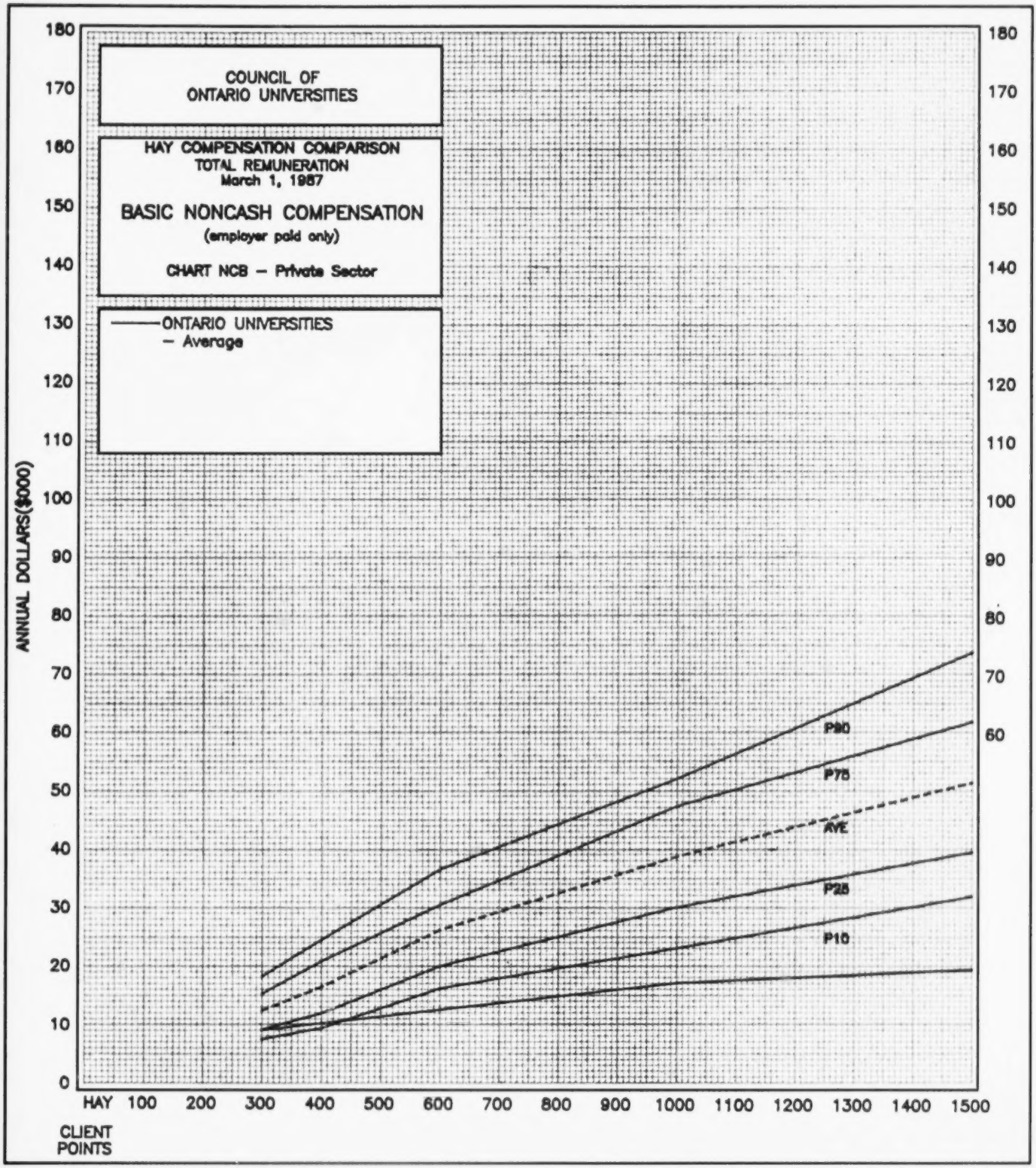
In order to do this it must compete with other businesses for administrative, managerial and professional talent. On the basis of the approximately 200 senior university administrative positions evaluated, the investigators have concluded that the most appropriate analogues for these positions are to be found in the private sector. The search for senior financial officers, comptrollers and accountants; human resource management executives and salary administration specialists; managers of computing centres and corporate services, directors of facilities planning and physical plants, specialists in public and institutional relations will be most likely carried out in the private sector marketplace.

Within the administrative hierarchy of the universities, the data indicate that compensation, relative to the private sector, is most competitive at the director level and becomes increasingly less so as job size increases and moves up to and through senior, vice-presidential levels. In this, university administrative compensation practice follows the pattern of public sector compensation. Therefore, while universities are probably able to compete for talent at lower levels of the managerial and professional hierarchy, they are likely to be at a disadvantage when they attempt to recruit at more senior levels. In addition to salaries that are, on average, considerably lower than those paid in the market, employee benefits are no better than average and perquisites are virtually non-existent. Furthermore, the investigators found no evidence of the use of incentives and bonuses although they have become widespread in the private sector and have begun to emerge at senior levels of civil services. The universities' competitive position is further exacerbated by the fact that non-academic administrators cannot aspire to "doing the business of the business" - academics clearly constitute the dominant culture of the university.

These findings are represented graphically on the charts following.



Hay
Management
Consultants



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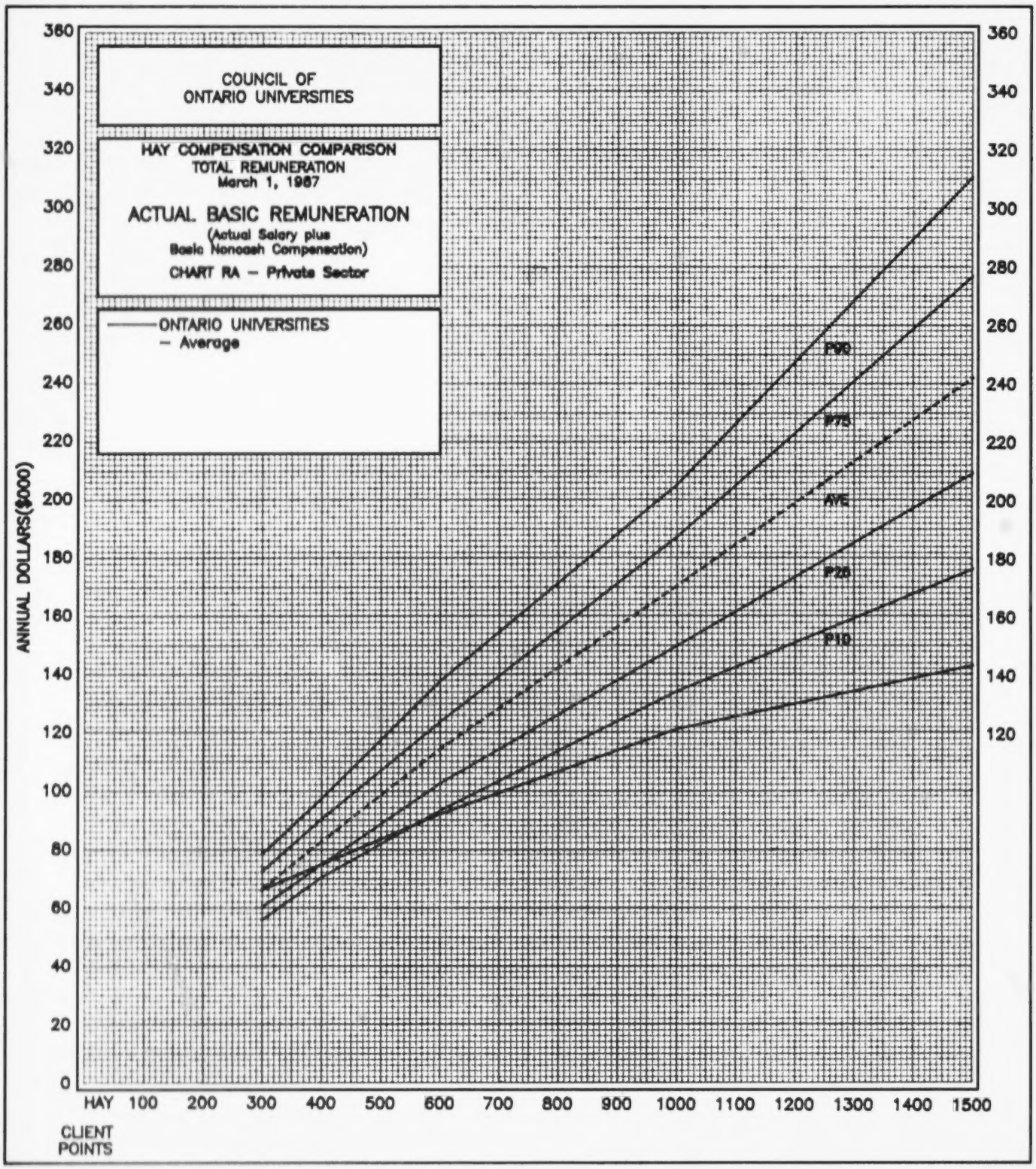

COUNCIL OF
ONTARIO UNIVERSITIES
HAY COMPENSATION COMPARISON
TOTAL REMUNERATION
March 1, 1987
ACTUAL BASIC REMUNERATION
(Actual Salary plus
Basic Noncash Compensation)
CHART RA – Private Sector
ONTARIO UNIVERSITIES
– Average
P90
P75
AVE
P25
P10
ANNUAL DOLLARS($000)
360
340
320
300
280
260
240
220
200
180
160
140
120
100
80
60
40
20
0
HAY 100 200 300 400 500 600 700 800 900 1000 1100 1200 1300 1400 1500
CLIENT
POINTS

All data are presented on private sector charts which follow. In addition to the private sector average, data are also presented for the 10th, 25th, 75th and 90th percentiles:

- the 25th and 10th Percentiles - P25 and P10 - below which fall one quarter and one tenth of the private sector organizations;
- the 75th and 90th Percentiles - P75 and P90 - above which fall one quarter and one tenth of the private sector organizations.

In addition to private sector data, the actual cash compensation chart shows the average compensation for public sector organizations.

Although Hay Management Consultants has extensive consulting experience in noncash compensation in the public sector, too few Ontario public sector organizations provided data for the 1987 Hay Compensation Comparison - Total Remuneration to include this information on the charts. In general, the total value of public sector noncash compensation is not dissimilar from that of the private sector although the split amongst perquisites, employee benefits and pay for time not worked differs somewhat. (Public sector organizations tend to receive more vacations at the expense of perquisites.)

The first chart indicates that university administrative base salaries are at or slightly exceed the private sector average up to a level of about 380 Hay points. Thereafter, university administrative salaries fall behind the private sector, dropping below the 25th percentile of average private sector base salaries at about 600 Hay points. At 1000 Hay points, private sector base salaries exceed the comparable university average by about 25%. At 1500 Hay points, the difference is about 50%.

The second chart, displaying patterns of basic noncash compensation, shows university practice to be significantly behind the private sector. The value of university noncash compensation never exceeds the 25th percentile for the private sector and falls below the 10th percentile at about 440 Hay points. At 1000 Hay points, private sector basic noncash compensation exceeds the comparable university figure by 125%. At 1500 Hay points the difference is about 150%.

The third chart deals with total remuneration. Here, the university average equals the private sector average at about 300 Hay points, crosses the 25th

percentile at about 400 Hay points and drops below the 10th percentile at about 550 Hay points. Average total compensation for the private sector exceeds the comparable figure for universities by 40% at 1000 Hay points and by 60% at 1500 Hay points.

Section II

Faculty Compensation

In considering the data presented in this section, it is important to keep in mind that the current study aims at drawing generalized conclusions about the overall pattern of compensation. As such, the project focuses on (1) communities of organizations employing professionals rather than specific organizations and, (2) professionals as a general category of employees rather than specific professional disciplines. Questions of a strategic nature, such as how any given university ought to develop compensation policies to attract and retain professionals within a particular academic discipline, are not answered here. While these are undoubtedly important questions for universities, a search for their answers would represent an entirely different kind of undertaking.

This section deals with two different yet related faculty compensation issues.

The first is concerned with how professionals occupying academic roles are compensated in relation to professionals occupying organizational positions in the private and public sectors. The second is concerned with career earnings.

In examining these issues, it is essential to understand the characteristics of the professional work of faculty and how it compares with the work of professionals outside the university community. It is only in this context that compensation issues, particularly that of career earnings, can be understood. Although much of what follows has been discussed in some detail elsewhere in this report, a brief summary seems an appropriate way to introduce the comparative compensation data:

- Professionals operate, for all practical purposes, in one of two ways: they are either a) self-employed, that is, they manage their own professional practices, or b) they are employed by some organization or institution.

- To compare the compensation of self-employed professionals with that of professionals employed by organizations is like comparing apples and oranges. (It may have been in recognition of this fact that the project as defined by COU specifically directed us to the compensation of professionals in private sector corporations and the public sector.) This is not to suggest that compensation is not an important consideration for a professional making a career choice or a career change, but rather that decisions about risk, economic viability, individual performance and rewards are informed by many more considerations than compensation.

- The tripartite task of research/scholarship, teaching and service is an organizational position and cannot be conceived outside the university. Therefore, faculty have to be seen as employees.

- For this reason, the compensation of faculty must be compared with that of professionals occupying organizational positions.

- Professionals working in organizational settings occupy roles or positions that have been defined by the employing organization. In the course of a career, professionals may progress through a hierarchy of such positions, each of which will be compensated differently. For this reason, one can never enquire about the compensation of organizationally-employed professionals without also determining the nature of the task they are performing. Therefore, the criterion "number of years since graduation" has little meaning outside the university -- although it may have for professional associations who like to monitor such things.

- The compensation of professionals employed in the public and private sectors is position-driven whereas the compensation of faculty is age-driven.

- It may be because of general recognition that there is really only one academic position that movement into and through it is conditioned by such elaborate, rigorous and, most importantly from the point of view of career earnings, protracted initiation rites. In the final analysis, it is these protocols that have the most significant impact on the career earnings of academics.

As it is not possible to identify what, in private and public sector organizations, would be described as a position midpoint salary or job rate for faculty, we have chosen the average salary for tenured and tenure stream faculty at career midpoint age as an appropriate surrogate. Data available as

at June 1987 indicate this average to be $55,500 with the median being $55,000. Comparisons of faculty compensation are made with positions of comparable measured job content in the private and public sectors. These comparisons are displayed in Table 5-1 and Figure 5-1.

TABLE 5-1

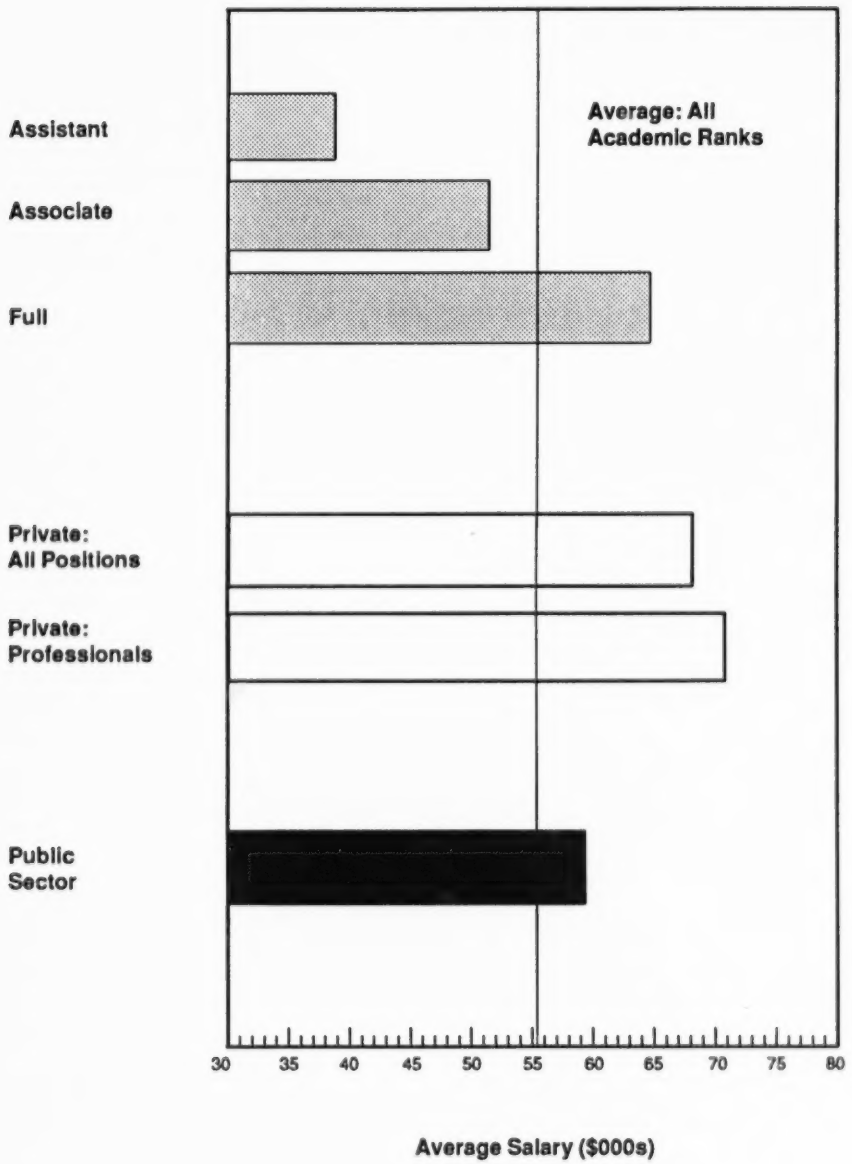
Relationship Between Academic Salaries in 1987 With Those Of Positions Of Comparable Job Content

Assistant Professor	$38,800
Associate Professor	$51,600
Full Professor	$65,000
Faculty Overall	$55,500
Private Sector: All Positions	$68,200
Private Sector: Professionals*	$71,000
Public Sector	$59,500

* "Private Sector: Professionals" do not include professionals with managerial responsibilities. Professional disciplines represented here are law, economics, engineering, science, etc.

Figure 5 – 1

Academic Salaries in 1987 and Salaries of Positions of Comparable Job Content



We have concluded, based on an assessment of measured job content, that the academic task is compensated, on average, below the major comparator groups selected for this study. It is only when an academic achieves the rank of full professor (average age of appointment: 42 years; average salary at time of appointment: $58,100) that something approaching competitive salaries are achieved. Whether or not this market positioning is appropriate is a matter for major stakeholders to decide. However, academics are disadvantaged with respect to lifetime earnings because of the way in which entry level compensation is determined and then administered through the tenure stream.

To illustrate this point, we have calculated career earnings under several different salary administration scenarios. (It bears repeating that we have not considered the lifetime earnings of self-employed professionals.) In all cases we have assumed the following:

1. Disposable earnings: one-third of gross income.

2. Savings: 10% of disposable earnings.

3. Investment income: 10% of savings.

4. Investment income: reinvested.

5. All calculations are based on constant 1987 dollars.

6. Each scenario (except Scenario 1) assumes that the academic position has a policy midpoint which corresponds to the average salary paid to a position of comparable job size in each of the comparator groups and that the salary will be administered through a range of plus and minus 20% on either side of that midpoint.

7. The academic career is considered to span 31 years based on current data which indicate that the average age of appointment to the rank of assistant professor is 34 years.

8. Scenario 1 is based on current salary data available for tenured and tenure-stream Ontario faculty which indicate an overall average of $55,500, an average starting salary of $34,000 for assistant professors at average age of appointment and an average salary of $70,600 for full professors at age 65. (This represents a range of +27% and -39%.)

Scenario	Salaries Min.	Salaries Mid.	Salaries Max.	Total Career Earnings	Savings Plus Reinvested Investment Income
1. Current Practice	$34,000	$55,500	$70,600	$1,673,600	$294,520
2. Private Sector: Overall	$54,500	$68,200	$81,800	$2,180,976	$415,070
3. Private Sector: Professionals	$56,800	$71,000	$85,290	$2,273,424	$432,633
4. Public Sector	$47,600	$59,500	$71,400	$1,904,128	$362,438

It is important to note in this context that while we acknowledge the issue of opportunity costs, we are unable to effectively address it. There are two reasons for this:

1. We are unable to develop a model with credible assumptions that would allow us to account for the "missing decade" prior to appointment to the rank of assistant professor.

2. The assumption of a "missing decade" is itself problematic. Many of the professionals in the comparator groups have academic credentials well beyond undergraduate degrees and so they too have experienced opportunity costs.

APPENDIX A

NONCASH COMPENSATION ANALYSIS

ANALYSIS OF NONCASH COMPENSATION

This section compares the individual components of noncash programs provided to senior administrative staff and faculty of the universities to that provided to managers and executives of organizations that participated in the 1987 Hay Compensation Comparison - Total Remuneration (TRC.) Except where specifically noted, noncash practices of the private and public sectors do not vary significantly.

EMPLOYEE BENEFITS

Death Benefits

The universities provide a Basic Group Life benefit between 100% and 450% of annual earnings with 200% of annual earnings being the norm. Two universities allow employees to elect their amount of Basic Group Life insurance. Generally, this coverage is employer-paid although three universities limit the employer-paid portion to a maximum amount of insurance of $25,000 (2 plans) or $45,000 and an additional two universities require employees to share in the cost of this coverage.

The Basic Group Life coverage provided by the universities is not dissimilar to that provided by the TRC participants. As with the universities, the norm for the TRC participants is 200% of annual earnings on an employer-paid basis.

Five universities provide additional Voluntary Group Life coverage with employees choosing their amount of coverage. Three of these plans are employee-paid while the other two have employee/employer cost sharing.

Most (70%) of the TRC participants provide Voluntary Group Life. Employer contribution to this coverage is rare (only 16% of the plans).

Three (23%) of the universities provide a Survivor Income Benefit (two of these plans are optional) to employees with dependent spouses and/or children. These plans pay 25% to 30% of the employees' income to the surviving spouse and 5% to 10% to children.) The employees and employer share the cost of these plans.

Survivor Income Benefit plans are provided by only 16% of the organizations that participated in the TRC. The most commonly provided level of coverage is 25% of the employees' income to the surviving spouse. Over half (58%) of these plans require the employees to pay some or all of the cost of the plan.

Other Death Benefits often provided by TRC participants are Dependent Life Insurance (provided by 60% of the TRC participants and 15% of the universities), Basic Accidental Death & Dismemberment Insurance (73% of TRC participants), Voluntary AD&D (47%) and Travel Accident (60%.)

Two (15%) of the universities provide Dependent Life Insurance on an employee paid basis. Details on Basic AD&D, Voluntary AD&D and Travel Accident coverage for the universities are not known.

In total, the average Death Benefits available to university staff is similar in design to the average of the Death Benefits provided to the staff of TRC participants, except that the universities require a higher than average level of employee cost sharing.

Income Replacement

In the event of short-term disability, full salary is continued by all of the universities. This is the same as is usually provided to executives of the organizations that participated in the TRC.

All of the universities provide Long Term Disability (LTD) Benefits. The benefit percentage on taxable plans ranges from below 60% of income up to 80% of income. The benefit level on non-taxable plans is lower, as expected, with graded schedules being the most common. (These schedules provide a lower percentage of income as salary increases.) Five (38%) of the plans are fully employee paid (non-taxable). Sixty-three percent of the remaining plans are fully employer paid while the other plans require some employee

contribution (between 20% and 50% of the premium.) Sixty-nine percent of the LTD plans provide for cost-of-living increases ranging from a maximum per annum increase of 2% up to 7%.

Except for the prevalence of cost-of-living increases, the average university LTD plan is the same as that provided by the average TRC participant. Only 28% of the TRC participants provide cost-of-living increases, compared to 69% of the universities.

Because of the cost-of-living increases under the LTD benefit, the design of the Income Replacement benefits provided by the universities is somewhat better than that of the organizations that participated in the TRC.

Health Care - Government Medicare

Forty-six percent of the universities pay the employee's full OHIP premium. The remainder pay a portion (25% to 77%) of the premium with 83% of these paying 50% or over.

Virtually all TRC participants (92%) with employees in provinces with Government Medicare premiums pay a portion of the premium. Sixty-six percent of these organizations pay the full premium, 14% pay 51% to 99%, 16% pay 50% and the remainder pay less than 50%.

The average portion of Government Medicare premiums paid by the universities is approximately the same as that provided by the TRC participants.

Health Care - Extended Health (Major Medical)

The universities all provide Extended Health plans, usually (77%) on a fully employer paid basis. Seventy-seven percent of the plans have a deductible on some or all of the covered expenses. The deductibles are 35¢ per prescription drug claim (2 plans), $1 per prescription drug claim (1 plan), $10 single/$20 family (1 plan), $25 single or family (1 plan), $15 single/$30 family (1 plan),

$25 single/$50 family (4 plans). Most of the universities' plans (85%) reimburse 100% of expenses in excess of the deductible, the remaining plans reimburse 80% of some or all expenses. Thirty-eight percent of these plans reimburse for vision care expenses.

In most respects the Extended Health plans provided by the universities are very similar to those provided by the TRC participants. The differences are a higher average reimbursement level at the universities combined with fewer than average vision care plans provided by the universities.

Health Care - Dental

All but one (92%) of the universities provide a Dental plan. The norm is to reimburse 100% of Basic, Endodontic and Periodontic expenses. About half of the plans also reimburse for Major Restorative expenses. Two-thirds of the plans are fully employer paid.

Generally, more TRC participants reimburse for Major Restorative and Orthodontic expenses. Otherwise the average plans are approximately the same.

In total, the universities' Health Care plans are approximately equivalent to those provided by the organizations that participated in the TRC.

Retirement Income

All of the universities' pension plans require an employee contribution with the most common contribution level being 6% of earnings reduced by CPP contributions.

Just over half (58%) of the private sector TRC participants and virtually all of the public sector TRC participants require an employee contribution. The normal contribution level is 5% less CPP contributions for private sector organizations and 6% - 7% less CPP contributions for public sector organizations.

Almost half (46%) of the universities have money purchase pension plans with a minimum final average guarantee. The others provide a defined benefit plan, most often using a five year average salary. Using the minimum guaranteed benefit the most common plan design is a final average plan with a 2% unit reduced by CPP benefits and earnings averaged over a five year period.

The benefit unit most often provided by the universities is the same as usually provided by the TRC participants with contributory plans.

All but one of the universities provide cost-of-living adjustments to pensioners. Seventy-eight percent of the TRC participants organizations (including the majority of public sector organizations) provide cost-of-living increases.

The most common normal form of pension for the university plans is life with a five year certain period (69% of plan.) Other forms are life with a 10 year certain period (1 plan), life income no certain period (1 plan), and joint and 50% survivor (2 plans.)

The TRC participants' pension plans have the following normal forms: automatic spouse's benefit (38%), life with a 5 year certain period (28%), life with a 10 year certain period (11%) and life income, no guaranteed period (22%.)

When all aspects of pension plans are considered the design of the universities' plans is below the norm for the TRC participants due to:

- o a higher than average level of employee contributions; and
- o a less costly than average normal form of pension.

Supplemental Compensation

The universities do not provide any form of supplemental compensation (profit sharing, share purchase or savings plans) with an employer contribution.

Seven percent of the private sector organizations that participated in the TRC have a profit sharing plan; 26% provide a savings plan and 22% have an employee share purchase plan. This component of noncash compensation is uncommon in the public sector.

Total Employee Benefits

In total, the universities' employee benefits are competitive with both the private and public sectors.

PAY FOR TIME NOT WORKED

Pay for Time Not Worked includes holidays and vacations. It was assumed that the universities provided 12 holidays each year (the norm for TRC participants.)

Except for faculty positions, most of the universities provide a vacation schedule with the length of vacation increasing with length of service. Almost half of the universities provide a minimum of four weeks vacation for their senior administrative staff. The norm for faculty positions is four weeks vacation.

This practice is similar to that provided to executives of the private sector organizations that participated in the TRC. Public sector organizations tend to provide a higher level of vacations than the private sector.

PERQUISITES

The perquisites provided by the universities include:

Parking - provided by all the universities. Ninety-two percent of the universities require employees to pay for parking.

Pre-retirement Counselling - provided on a group basis by 46% of the universities.

Company Cars/Car Allowance - provided by 46% of the universities with an average minimum eligibility level of 1250 Hay Evaluation Points.

Luncheon Club - provided by 1 of the universities.

The private sector TRC participants provide a much higher level of perquisites. The table following lists the most commonly provided perquisites, the percentage of TRC participants providing the perquisite and the average minimum eligibility level.

Perquisite	Prevalence	Average Minimum Eligibility Level Expressed in Hay Evaluation Points
Company Car/ Car Allowance	92%	460
Special Parking	82%	440
Country Club	55%	540
Luncheon Club	60%	500
Fitness Club	29%	400
Personal Financial Counselling	39%	520
Tax Preparation Svcs.	25%	540
Physical Examinations	67%	350

The public sector also provides a slightly higher level of perquisites than the universities. The most commonly provided perquisites are:

Perquisite	Prevalence
Car/Car Allowances	51%
Special Parking	45%
Country Clubs	8%
Luncheon Clubs	11%
Personal Financial Counselling	11%
Physical Examinations	11%

In addition, the universities provide tuition remission for staff and tuition allowances for dependents. The tuition remission for staff is similar to the education expense reimbursement programs provided by virtually all organizations surveyed for this project. The majority of these programs provide full reimbursement for business related courses. In addition, the tuition reimbursement for staff bears some resemblance to employee discounts provided by 41% of organizations surveyed. The tuition allowances for dependents could be compared to an employee discount program in combination with a dependent scholarship program, provided by 25% of participating organizations.

TOTAL NONCASH COMPENSATION

Employee Benefits and Pay For Time Not Worked are the only components of the universities' total remuneration packages that are competitive with public and private sector organizations. The universities provide fewer perquisites than either the private or public sector organizations. (Refer to Chart NCB following page 28.)

APPENDIX B

NONCASH COMPENSATION METHODOLOGY

An organization's cost for a noncash program is subject to numerous variables, such as the composition of the group, claims experience, funding method, skill of the buyer and the organization's accounting practices. Thus, programs with identical formulae can have widely differing costs among or even within organizations. However, the value of a noncash item to a particular employee is primarily dependent on the level of benefit, perquisite or time off provided, not on the average age of the employees in the organization or the method chosen by the employer to fund the program, et cetera.

Therefore, standard cost assumptions were derived. For noncash items which are conditional on the occurrence of an event such as death, disability or continuous employment in an organization, the cash equivalent has been calculated on the basis of probability of receiving such items using appropriate actuarial assumptions. For noncash items such as cars, loans and subsidized meals which have immediate value, the cash equivalent has been calculated on the basis of the most probable average replacement cost in Canada in 1987.

This report presents comparative noncash and total remuneration information using measured job content, expressed in standard Hay Control Points. In our opinion, this is the most appropriate way to analyze noncash compensation. This method also facilitates analyses of total remuneration by combining cash and noncash values.

For the purpose of this analysis, the value of each university's noncash compensation was calculated by applying their noncash compensation programs to the cash compensation line for all the universities combined. An average line for all universities was calculated from these values.

It should be noted that, the values of most components of noncash compensation are a direct function of earnings. Therefore, the universities' position on the charts is largely a reflection of the salary line.

APPENDIX C

COMPARATOR GROUP ORGANIZATIONS

Private Sector Organizations
All Managerial & Professional Positions

Aetna Canada
Abitibi-Price
Air Products
Algoma Steel
American Express
Andres Wines
Apex Metals
Armco-Westeel
Armet Industries
Atomic Energy of Canada
Bapco
BASF Canada
BCE PubliTech
BT Bank of Canada
Bank of Montreal
The Bank of Nova Scotia
Barbecon
Barclays Bank
The Bay
Beaver Lumber
Binney & Smith
Black & Decker
The Blackburn Group Inc.
Borg-Warner Acceptance
Brewers' Warehousing
Burmah-Castrol
Byron Jackson
CAE Industries
CP Hotels
CP Trucks
C-I-L Inc.
CAMCO
Campbell Soup
Canada Life
Canada Packers
Canada Post
Canada Systems Group
Canada Trust
Canada Wire and Cable
Canadian Bankers' Association
Canadian Depository for Securities
Canadian General Electric
Canadian General Insurance
Canadian Gypsum
Canadian Imperial Bank of Commerce
Canadian Life & Health Insurance Assoc.
Canadian Standards Association
Canadian Timken
Canteen of Canada
Carling O'Keefe Breweries
Caruscan Corporation
Ciba-Geigy
Citibank
Coles Book Stores
Commercial Union Assurance
Commonwealth Holiday Inns
Confederation Life
Consumers' Gas
R.L. Crain
Credit Union Central of Ontario
Crouse-Hinds
Crown Life
Crownx
Cutler-Hammer
Cyanamid
DRG Inc.
Dairy Bureau of Canada
De Havilland
Delphax
Diversey Corporation
Diversey Wyandotte
Dofasco

Dorr-Oliver
Du Pont
ERCO
ESCO Ltd.
Eaton Financial Services
Ecolab
Economical Mutual
Electrohome
Engelhard Industries
Equitable Life
Etobicoke Hydro
Export Development Corporation
Extendicare
Foseco Canada
Factory Mutual Engineering
Falconbridge Sudbury Operations
Fiberglas
First Brands (Canada)
Fisher Gauge
Glaxo Canada
GSW Inc.
Gay Lea Foods
General Foods
General Mills
B.F. Goodrich Canada
Goodyear
Great Lakes Forest Products
Great Northern Apparel
Grocery Products Manufacturers of Canada
Guaranty Trustco./Traders Group
Gulf Canada Corp.
Haley Industries
Hallmark Cards
H.J. Heinz
Hercules Canada
Hilti Canada
Himont Canada
Hiram Walker - Gooderham & Worts
Honeywell Bull
Honeywell Ltd.
Hudson's Bay Company - Information Svcs.
ITW Plastiglide
Imperial Clevite
Imperial Life Assurance
Insurance Bureau of Canada
Insurance Crime Prevention Bureau
Insurers' Advisory Organization
Jannock Limited
S.C. Johnson & Son
Kellogg Salada
Kimberly-Clark
Kimberly-Clark, Pulp
John Labatt
Labatt Brewing Company
Lanpar
Lawson Mardon Group
Lily Cups
Thomas J. Lipton
Lloyds Bank
London Life
MSA Canada
Mack Canada
Mack Financial
Manufacturers Hanover Bank
Manufacturers Hanover Leasing
Manufacturers Life
Maple Leaf Mills
May & Baker Canada
Maytag
Metropolitan Insurance Company
Metropolitan Life
Midas
Miles Laboratories
Mitsubishi Canada
Molson Breweries
The Molson Companies
Monarch Marking
Monsanto
Morguard Investments
Mutual Life
NCR Canada Ltd.
NCR-Engineering & Manufacturing
National Steel Car
Navistar International
Nestle Enterprises
Noranda Inc.
Noranda Minerals
North American Life

Northern Telecom
Norton
Ontario Hydro
Ontario Northland Transportation
Ontario Waste Management
The Oshawa Group
PPG Canada
PPG - Industrial Chemicals
Pepsi-Cola
Phillips Cables
Phoenix Continental
Pillsbury Canada
Pitney Bowes
Polysar
Procor
Prudential - Life & Pension
Quaker Oats
RJR-MacDonald
Redpath Industries
Rio Algom
Robin Hood Multifoods
Rothmans, Benson & Hedges
Rowntree Limited
Royal Canadian Mint
Royal LePage
Sherritt Gordon
Shulton
Simcoe Erie Investors
Simpsons
Snap-on Tools
Society of Management Accountants of Ontario
Society of Management Accountants of Canada
Somerville Belkin
Southam Communications
Southam Inc.
Southam Newspaper Group
Southam Printing
Spar Aerospace
Spruce Falls
State Farm Insurance
Stelco
Sterling Trust
Sun Life
Suncor Inc.
TDL Woodtreating
Tektronix
Telesat
Tetra-Pak
Texas Instruments
The Sports Network
Timberjack
Timminco
Tonka
Toronto College Street Centre
Toronto Hydro
Toronto Trust Cemeteries
Toronto-Dominion Bank
Trans Northern Pipelines
Transamerica Life
Travelers
Tridon North America
Union Carbide
Union Gas
Uniroyal Goodrich Canada
United Co-operatives of Ontario
Varian
Vickers
Wabco
WCI Canada
Westinghouse Canada Inc.
Westroc Industries
Wool Bureau of Canada
Wright Line of Canada
Wrigley Canada

COMPARATOR GROUP ORGANIZATIONS

Public Sector Organizations

Colleges

Colleges of Applied Arts and Technology of Ontario *
- Algonquin College
- Cambrian College
- Canadore College
- Centennial College
- Conestoga College
- Confederation College
- Durham College
- Fanshawe College
- George Brown College
- Georgian College
- Humber College
- Lambton College
- Loyalist College
- Mohawk College
- Niagara College
- Northern College
- St. Clair College
- St. Lawrence College
- Sault College
- Seneca College
- Sheridan College
- Sir Sanford Fleming College

School Boards

Durham Country Board of Education
Halton Board of Education
Lakehead Board of Education
Lambton County Board of Education
Wellington County Board of Education
Wentworth County Board of Education
Windsor Board of Education

Service Organizations

London YM-YWCA
Niagara Institute
The YMCA of Metropolitan Toronto

Government

Government of Canada
Government of Ontario
House of Commons
Senate of Canada

Service Organizations

Library of Parliament
National Arts Centre

Hospitals

Baycrest Centre for Geriatric Care
Chedoke-McMaster Hospital
Kingston General Hospital
McKellar General Hospital
Orthopaedic and Arthritic Hospital
Parkwood Hospital
Royal Ottawa Hospital

Hospitals (Cont.)

St. Joseph's Hospital
St. Mary's General Hospital
St. Peter's Hospital
Sault Ste. Marie General Hospital
University Hospital

Service Organizations

Ontario Lung Association

* The 22 Colleges of Applied Arts & Technology are included as one organization.

COMPARATOR GROUP ORGANIZATIONS

Private Sector Organizations
All Professional (Non-Managerial) Positions

Aetna Canada
Air Products
Algoma Steel
American Express
Armco-Westeel
Atomic Energy of Canada
BASF Canada
The Bank of Nova Scotia
Byron Jackson
CAE - Northwest
C-I-L Inc.
Canada Life
Canada Post
Canada Trust
Canada Wire and Cable
Canadian Gypsum
Canadian Life & Health Insurance Assoc.
Carling O'Keefe Breweries
Caruscan Corporation
Commercial Union Assurance
Confederation Life
Crouse-Hinds
Crown Life
Cutler-Hammer
Cyanamid
De Havilland
Delphax
Diversey Wyandotte
Dorr-Oliver
ERCO
ESCO
Ecolab
Electrohome
Etobicoke Hydro
Export Development Corp.
Factory Mutual Engineering
Falconbridge Sudbury Operations
Fiberglas
Fisher Gauge
GSW Inc. - Building
General Floods
B.F. Goodrich Canada
Goodyear
Haley Industries
Hallmark Cards - MSP & T
H.J. Heinz
Himont Canada
Imperial Clevite
Imperial Life Assurance
Insurance Bureau of Canada
Insurers' Advisory Organization
Jannock - Electrical Group
S.C. Johnson & Son
Kellogg Salada
Kimberly-Clark
Kimberly-Clark - Pulp
John Labatt
Labatt Brewing Company
Lily Cups
London Life
Mack Canada
Manufacturers Life
Midas
Molson Breweries
Mutual Life
National Steel Car
Nestle Enterprises
Noranda Inc.
Noranda Minerals
Northern Telecom
Ontario Hydro

Ontario Northland Transportation
Ontario Waste Management
PPG Canada
Phillips Cables
Pillsbury Canada
Polysar
Procor
Prudential Assurance - Life and Pension
Quaker Oats
RJR-MacDonald
Robin Hood Multifoods
Rothmans, Benson & Hedges
Rowntree Limited
Sherritt Gordon
Shulton
Spar Aerospace
Spruce Falls
Stelco
Sun Life
Telesat
Timberjack
Timminco
Travelers
Union Carbide
Union Gas
Uniroyal Goodrich Canada
United Co-operatives of Ontario
Vickers
Wabco
Westinghouse Canada Inc.
Westroc Industries
Wrigley Canada

APPENDIX D

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- MacMaster University
- Sir Wilfrid Laurier University
- University of Western Ontario
- University of Windsor

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- Carleton University
- Guelph University
- Lakehead University
- Laurentian University
- Université d'Ottawa
- University of Toronto
- Trent University
- University of Windsor
- York University

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